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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. YOR9-2000-0038US1 (8728-348)

First Inventor or Application Identifier BURKE

Title INTERPROCEDURAL ANALYSIS AND

Express Mail Label No. EL433927045US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 70]
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
4. Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
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Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

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5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
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Transmitted herewith for filing is the Patent Application of:

Inventors: Michael G. Burke, Jong-Deok Choi, Vugranam C. Sreedhar

For: INTERPROCEDURAL ANALYSIS AND OPTIMIZATION OF AN OBJECT ORIENTED
PROGRAM IN THE PRESENCE OF DYNAMIC CLASS LOADING

Enclosed are: [X] 57 sheets of specification; [X] 2 sheet(s) of Abstract; [X] 11 sheet(s) of claims; [X] 6 sheet(s) of drawing(s);

[X] An assignment of the invention to International Business Machines Corporation with Recordation Form.

[X] Declaration and Power of Attorney.

[] A certified copy of a _____ application, from which priority under Title 35 USC §119 is claimed.

[X] Associate Power of Attorney.

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Respectfully submitted,

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CERTIFICATION UNDER 37 C.F.R. §1.10

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Gaspere J. Randazzo
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INTERPROCEDURAL ANALYSIS AND OPTIMIZATION OF AN OBJECT
ORIENTED PROGRAM IN THE PRESENCE OF DYNAMIC CLASS LOADING

5 1. **Technical Field**

 The present invention relates generally to object oriented programming and, in particular, to interprocedural analysis and optimization of an object oriented program in the presence of dynamic class loading.

10

 2. **Background Description**

 The just-in-time (JIT) compilation model for the JAVA programming language (henceforth referred to as "JAVA") is an impediment to generating code that is as efficient as code generated using static optimization. Sophisticated static compilers for C++ perform whole program analysis, optimization, and transformation, to generate efficient code. Whole program analysis is possible for the C++ language, since C++ does not allow new classes and/or methods to be loaded during program executions. In C++, when faced with calls to methods whose bodies are not known during compile time, such as Dynamic Link Libraries (DLLs), these static compilers usually make conservative assumptions about the methods.

15

20

In JAVA, new classes can be loaded "on-the-fly" during program execution, as noted by Bracha et al., in "Dynamic Class Loading in the JAVA Virtual Machine", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, Oct. 1998. Attempting to apply the C++ whole program static analysis framework to JAVA can result in an incorrect program. For example, consider a virtual call p.foo(). In C++, whole program analysis can be used to determine whether a virtual call has only one target, as described by Bacon et al., in "Fast Static Analysis of C++ Virtual Function Calls", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, pp. 324-41, Oct. 1996. If so, the virtual call can be directly converted to a static call (and the call possibly inlined). Attempting to do such devirtualization in JAVA (without a runtime type check guarding the devirtualization) can result in an incorrect program because, during execution, a new class can be loaded and p.foo() can invoke a new foo() in the newly loaded class.

One solution for avoiding incorrect execution after a new class is loaded is to invalidate and recompile affected methods, as described by: Chambers et al., in "Debugging Optimized Code with Dynamic Deoptimization", SIGPLAN '92

Conference on Programming Language Design and
Implementation, SIGPLAN Notices 27(6), June 1992; Holzle et
al., in "A Third Generation Self Implementation: Reconciling
Responsiveness with Performance", ACM Conference on Object-
5 Oriented Programming Systems, Languages, and Applications,
pp. 229-43, Oct. 1994; Craig Chambers, "The Design and
Implementation of the Self Compiler, an Optimizing Compiler
for Object-Oriented Programming Languages", PhD thesis,
Stanford University, March 1992; and Burke et al., in
10 "Interprocedural Optimization: Eliminating Unnecessary
Recompilation", ACM Transactions on Programming Languages
and Systems, 15(3):367-399, July 1993.

However, runtime invalidation and recompilation
mechanisms have several drawbacks, such as: (1) they can be
15 expensive in both space and time; (2) the activation stack
frame for active and invalidated methods may have to be
rewritten; (3) they can restrict how much optimization one
allowed to do so that invalidation can be correctly applied
during runtime; and (4) a complex and an expensive
20 synchronization mechanism may be needed to correctly
invalidate methods in a multithreaded environment. The
second disadvantage is further described by Chambers et al.,
in "Debugging Optimized Code with Dynamic Deoptimization",

SIGPLAN '92 Conference on Programming Language Design and
Implementation, SIGPLAN Notices 27(6), June 1992. The third
disadvantage is further described in the immediately
preceding article by Chambers et al., and also by Craig
5 Chambers, in "The Design and Implementation of the Self
Compiler, an Optimizing Compiler for Object-Oriented
Programming Languages", PhD thesis, Stanford University,
March 1992. The fourth disadvantage is further described by
Alpern et al., in "Dynamic Linking on a Shared-Memory
10 Multiprocessor", International Conference on Parallel
Architectures and Compilation Techniques, Oct. 1999.

Accordingly, there is a need for a method that
optimizes an object oriented program in the presence of
dynamic class and/or method loading.

SUMMARY OF THE INVENTION

The problem state above, as well as other related
problems of the prior art, are solved by the present
invention, which is directed to interprocedural analysis and
20 optimization of an object oriented program in the presence
of dynamic class loading.

According to a first aspect of the invention, there is
provided a method for analyzing an object oriented program

that supports dynamic class loading. A set A of classes in the program is identified, wherein each class within set A is capable of, during execution of the program, causing the loading of a class outside of set A. A first set of method calls belonging to the classes in set A are identified that, during execution of the program, are capable of calling only methods belonging to a class within set A. A second set of method calls belonging to the classes in set A are identified that, during execution of the program, are capable of calling methods belonging to a class outside set A. Data that identifies the first and the second set of method calls is stored for subsequent use.

According to a second aspect of the invention, the method further includes the step of reporting the stored data to a user.

According to a third aspect of the invention, the method further includes the step of optimizing the program, based upon the stored data.

According to a fourth aspect of the invention, the method further includes the steps of, for a given method call in the second set: adding an optimization to the program that is valid when the given method call calls, during execution of the program, only methods belonging to a

class in the set A; and adding code to the program that triggers execution of the optimization when the given method call calls, during execution of the program, only methods belonging to a class in the set A.

5 According to a fifth aspect of the invention, the steps of identifying the first and the second set include the step of performing static analysis of the program.

 According to a sixth aspect of the invention, the optimization corresponds to at least one of devirtualization and stack allocation.

10 According to a seventh aspect of the invention, there is provided a method for optimizing an object oriented program that supports dynamic class loading. A set A of classes in the program is identified, wherein each class within set A is capable of, during execution of the program, causing the loading of a class outside of set A. An optimization is added to the program that is valid when a given method call belonging to the classes in set A is capable of calling, during an execution of the program, only methods belonging to a class in set A.

20 These and other aspects, features and advantages of the present invention will become apparent from the following detailed description of preferred embodiments, which is to

be read in connection with the accompanying drawings.

BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a block diagram of a computer processing
5 system to which the present invention may be applied
according to an illustrative embodiment thereof;

FIG. 2 is a flow diagram of a method for analyzing and
optimizing an object oriented program that supports dynamic
class loading, according to an illustrative embodiment of
10 the invention;

FIG. 3 is a flow diagram of a method for analyzing an
object oriented program that supports dynamic class loading,
according to an illustrative embodiment of the present
invention;

15 FIG. 4 is a flow diagram of a method for optimizing an
object oriented program that supports dynamic class loading,
according to an illustrative embodiment of the present
invention;

20 FIG. 5 is a flow diagram of a method for analyzing and
optimizing an object oriented program that supports dynamic
class loading, according to another illustrative embodiment
of the invention; and

FIG. 6 is a flow diagram of a method for performing extant analysis of an object oriented program, according to an illustrative embodiment of the present invention.

DETAILED DESCRIPTION OF PREFERRED EMBODIMENTS

It is to be understood that the present invention may be implemented in various forms of hardware, software, firmware, special purpose processors, or a combination thereof. Preferably, the present invention is implemented in software as an application program tangibly embodied on a program storage device. The application program may be uploaded to, and executed by, a machine comprising any suitable architecture. Preferably, the machine is implemented on a computer platform having hardware such as one or more central processing units (CPU), a random access memory (RAM), and input/output (I/O) interface(s). The computer platform also includes an operating system and microinstruction code. The various processes and functions described herein may either be part of the microinstruction code or part of the application program (or a combination thereof) which is executed via the operating system. In addition, various other peripheral devices may be connected to the computer platform such as an additional data storage

device and a printing device.

It is to be further understood that, because some of the constituent system components and method steps depicted in the accompanying Figures are preferably implemented in software, the actual connections between the system components (or the process steps) may differ depending upon the manner in which the present invention is programmed. Furthermore, for purposes of illustration, the present invention will be described herein in relation to JAVA, which is a well known object oriented programming language. However, it is to be understood that the present invention is applicable to other object oriented programming languages, as well as non object oriented programming languages. Given the teachings herein, one of ordinary skill in the related art will be able to contemplate these and similar implementations or configurations of the present invention.

FIG. 1 is a block diagram of a computer processing system 100 to which the present invention may be applied according to an illustrative embodiment thereof. The computer processing system 100 includes at least one processor (CPU) 102 operatively coupled to other components via a system bus 104. A read only memory (ROM) 106, a

random access memory (RAM) 108, a display adapter 110, an I/O adapter 112, and a user interface adapter 114 are operatively coupled to the system bus 104.

5 A display device 116 is operatively coupled to the system bus 104 by the display adapter 110. A disk storage device (e.g., a magnetic or optical disk storage device) 118 is operatively coupled to the system bus 104 by the I/O adapter 112.

10 A mouse 120 and keyboard 122 are operatively coupled to the system bus 104 by the user interface adapter 114. The mouse 120 and keyboard 122 may be used to input/output information to/from the computer processing system 100.

15 The present invention is directed to a new framework for interprocedural analysis and optimization of programs that support dynamic class (and/or method) loading (e.g., programs written in JAVA). The new framework is henceforth referred to as the "extant analysis framework".

20 A general description of the present invention will now be provided with respect to FIG. 2 to introduce the reader to the concepts of the invention. Subsequently, more detailed descriptions of various aspects of the invention will be provided.

FIG. 2 is a flow diagram of a method for analyzing and optimizing an object oriented program that supports dynamic class loading, according to an illustrative embodiment of the invention. The method of FIG. 2 is based upon the extant analysis framework of the invention.

During an off-line phase, methods of the program are identified for which interprocedural optimization can be applied and specialized versions can be created, based upon predefined criteria (step 210). The predefined criteria correspond to "extant analysis", which is described in detail hereinbelow. Optimized code is generated for the identified methods, based upon parametric data flow analysis (step 212). The optimized code represent specialized versions of the identified methods. Additional code, henceforth referred to as the "extant safety test", is generated (step 214). The extant safety test is used to determine whether or not to call the specialized or unspecialized method during execution of the program.

The extant safety test is executed during runtime of the program (step 216). It is then determined whether the extant safety test passed (step 218). If so, then the optimized code (i.e., the specialized versions of the methods) is invoked (step 220). Otherwise, the identified

methods (i.e., the unspecialized versions of the methods) are invoked (step 222). Within the framework, once a specialized method is invoked, it will execute correctly and safely for that invocation even when new classes are loaded.

5 FIG. 3 is a flow diagram of a method for analyzing an object oriented program that supports dynamic class loading, according to an illustrative embodiment of the present invention. The method of FIG. 3 corresponds to step 210 of FIG. 2.

10 A set A of classes in the program is identified, wherein each class within set A is capable of, during execution of the program, causing the loading of a class outside of set A (step 310). A first set of method calls belonging to the classes in set A are identified that,
15 during execution of the program, are capable of calling only methods belonging to a class within set A (step 312). A second set of method calls belonging to the classes in set A are identified that, during execution of the program, are capable of calling methods belonging to a class outside set
20 A (step 314). Data that identifies the first and the second set of method calls is stored for subsequent use (step 316).

FIG. 4 is a flow diagram of a method for optimizing an object oriented program that supports dynamic class loading,

according to an illustrative embodiment of the present invention. The method of FIG. 4 corresponds to steps 312 and 314 of FIG. 3.

A set A of classes in the program is identified,
5 wherein each class within set A is capable of, during execution of the program, causing the loading of a class outside of set A (step 410). An optimization is added to the program that is valid when a given method call belonging to the classes in set A is capable of calling, during an
10 execution of the program, only methods belonging to a class in set A (step 420).

FIG. 5 is a flow diagram of a method for analyzing and optimizing an object oriented program that supports dynamic class loading, according to another illustrative embodiment
15 of the present invention.

A set A of classes in the program is identified,
wherein each of the classes within the set A is capable of, during execution of the program, causing loading of a class outside of the set A (step 510). Step 510 includes the
20 steps 510a and 510b. At step 510a, a first predefined bit is added to the class table for each class belonging to the set A. At step 510b, a second predefined bit is added to the class table for each class not belonging to the set A.

of the reference variable p. During program execution, the type of the object that p points to can be any class R that is (directly or indirectly) derived from T. The designation "R" refers to the runtime type or concrete type of the object that p is pointing to. Now let p be a reference (to an object) and p.foo() be a method call. The reference p in p.foo() refers to the receiver expression, and the type of the receiver expression is the type of p.

A description of the framework of the present invention will now be given with respect to Table 1, which corresponds to a sample program in the JAVA programming language. The notation C:m is used to indicate that the method m is defined in class C. Classes A, B, and C are the only classes available for off-line analysis. Classes known to the offline analysis are referred to herein as "extant". With respect to the "closed-world" program of the extant classes, "extant analysis" determines that the possible runtime types of the receiver expressions b(cs1) and c(cs2) are among the extant classes. foo(C c) is specialized with respect to this closed-world assumption that the runtime types of b and c are among the extant classes. The specialized version of foo(C c) is designated as foo'(C c). A data flow analysis with respect to the closed-world

program determines that the method invocations `b.Bbar()` at `cs1` and `c.Bbar()` at `cs2` both have only one target, `B::Bbar()`. Notice that the class of the object pointed to by `b` at `cs1` is guaranteed to be within the closed-world. On the other hand, the class of the object pointed to by `c` at `cs2` can be either within or outside the closed world. Within `foo'(C c)`, both call sites can be devirtualized and inlined. In contrast, whereas `b.Bbar()` at `cs1` can be directly inlined, a runtime test is needed to guard the inlined `c.Bbar()`.

<pre> Class A { public static void foo(C c) { ... B b = goo() ; // b1 b.Bbar() ; //cs1 c.Bbar() ; //cs2 } static B goo() {return new B() } public void bar (C cl) { foo(cl); // cs3 } } </pre>	<pre> Class B { public void Bbar() { . . . } } class C extends B { } </pre>
--	---

TABLE 1

Since `c1` at `cs3` and `c` at `cs2` point to the same object, a runtime "extant safety test" can be placed prior to `cs3`. At runtime, this test determines whether the runtime types

of c1 are extant. If so, the specialized foo' (C c) is invoked; if not, the original (unspecialized) foo (C c) is invoked. The transformed code at A::bar() is as follows:

```
5      {
      if (c1 points to an extant object)
          foo' (C c);
      else
10         foo(C c);
      }
```

The concept of preexistence in the context of a dynamic compiler was introduced by Agesen et al., in "Inlining of Virtual Methods", 13th European Conference on Object-Oriented Programming, pp. 258-78, June 1999. Here, inlining only takes place for those call sites for which the object pointed to by the receiver expression has already been allocated at the moment of invocation of the containing method. Using their preexistence technique, the method invocation at cs1 cannot be inlined, because the object pointed to by b is not allocated until after the invocation of foo.

Another approach to devirtualization and inlining is based on a runtime type check of the receiver expression as described by Holzle et al., in "Optimizing Dynamically-Dispatched Calls with Run-Time Type Feedback", SIGPLAN '94

Conference on Programming Language Design and
Implementation, SIGPLAN Notices, 29(6), pp. 326-36, June
1994. Using this technique, one can devirtualize and inline
c.Bbar(b) at cs2 as follows:

```
5      if (c instance of B || c instance of C) {  
        // devirtualize and inline B::Bbar()  
        }  
        else  
        {  
10         c.Bbar();  
        }
```

In contrast to the runtime type check, the extant
safety test of the present invention can cover the entire
specialized method. This offers the opportunity for
optimizations across the multiple statements of the
specialized method. Further, the statements covered by a
single extant test can cross method or class boundaries, in
which case interprocedural optimizations can be performed
across multiple levels of method invocations. Finally, we
do not test on object instances but rather on whether an
object is extant or not.

A description will be now given of the relationship
between JAVA dynamic class loading and the off-line analysis
and optimization framework used herein. In JAVA there are
several ways in which a new class can be loaded. According
to the JAVA specification, a new class should be loaded

during execution if there is a reference to an element (such as a field or method) of the new class. This is further described by: Gosling et al., "The JAVA Language Specification", Addison Wesley, 1996; and Lindholm et al., "The JAVA Virtual Machine Specification", The JAVA Series, Addison-Wesley, 1996. Two other ways of loading a new class in JAVA include: (1) via Class.forName() constructs; and (2) via user defined class loaders. The latter is further described by Bracha et al., in "Dynamic Class Loading in the JAVA Virtual Machine", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, Oct. 1998.

When JAVA is implemented in a static environment, such as the JAVA Application eXtractor (JAX), IBM HPCJ or Marmot, the static compiler expects the whole program to be present during the analysis. This is further described by: Laffra et al., in "Practical Experience with an Application Extractor for JAVA", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, Nov. 1999; Fitzgerald et al., in "Marmot: An optimizing Compiler for JAVA", Technical Report MSR-TR-99-33, Microsoft Research, June 1999; and IBM High Performance Compiler for JAVA, IBM Corp., 1997, described at

<http://simont01.torolab.ibm.com/hpj/hpij.html>, available for

download at <http://www.alphaWorks.ibm.com/formula>.

As an example, JAX searches all methods and classes that are reachable from the main() method in the main application class. When JAX encounters a Class.forName() or user defined class loaders, JAX relies on the user to provide all possible classes that can be loaded at such points. If a user fails to provide all classes that can be dynamically loaded at such points, then JAX would potentially generate incorrect code.

In the framework of the present invention, the user is relied upon to provide methods and classes that can participate in the off-line analysis and optimization phase. However, unlike a static JAVA environment, the framework of the present invention guarantees correctness even if the user does not provide all of the dynamically loadable classes. The set of classes and methods that participate in off-line analysis and optimization are referred to herein as the "closed-world program". Several ways to collect the closed-world program include: (1) use the same strategy as that of a static JAVA compiler (e.g., JAX), except that the user need not specify all possible classes that can be loaded at Class.forName() points or by user-defined class loaders; (2) use profiling information and analyze only

"hot" methods and classes; (3) the user can specify the set of all classes and methods that participate in the closed world. Since optimization is performed off-line, one can incur the higher off-line compilation time for better
5 runtime speedup if more hot methods can be specialized using the present invention.

A description will now be given of extant analysis according to an illustrative embodiment of the present invention. Since the terms "class" and "type" are used
10 interchangeably herein, it is sometimes said that a "type is extant" instead of a "class is extant." It is to be noted that in JAVA, an object is a runtime instance of a class.

Further definitions will now be given of the terminology and notations corresponding to extant analysis.
15 The phrase "closed-world set" is defined as follows: the set of classes and methods that participate in off-line analysis and optimization. The Closed-World set is denoted by "CW".

A class C (or a method M) is extant if C (or M) is in CW. A class C (or a method M) is non-extant if it is not in
20 CW.

An object O is extant if its runtime type is extant.
An object O is non-extant if its runtime type is non-extant.

A reference is extant at a program point if it cannot point to a non-extant object at that program point. A reference is non-extant at a program point if it can point to a non-extant object at that program point.

5 A virtual call site (or a non-static call site) is non-extant if the receiver expression at that call site is non-extant. A static call site is non-extant if the target method of the call site is not in CW.

10 Some statements that can affect extant analysis are as follows:

- (a) $p = \text{new}_e T()$. An allocation site that creates only extant objects.
- (b) $p = \text{new}_{ne} T()$. An allocation site that can potentially create nonextant objects.
- 15 (c) $p = q$. A copy instruction.
- (d) $p.f = q$. A field update instruction (putfield).
- (e) $p = q.f$. A field access instruction (getfield).
- (f) $p = \text{call}_e(. . .)$. A call site that invokes only extant methods.
- 20 (g) $p = \text{call}_{ne}(. . .)$ A call site that can potentially invoke non-extant methods. Here p and any of the reference parameters of the function call can potentially point to non-extant objects.

Given the teachings of the present invention provided herein, one of ordinary skill in the related art will contemplate these and other statements that can affect extant analysis.

5 Extant analysis is a data flow problem for computing at each program point whether a reference variable is extant or non-extant. Extant analysis is performed during the off-line analysis phase.

10 FIG. 6 is a flow diagram of a method for performing extant analysis of an object oriented program, according to an illustrative embodiment of the present invention.

15 At each program point, it is computed whether a reference variable will always correspond to one of the classes in set A (step 610). Step 610 includes steps 610a through 610e.

20 The class inheritance graph and the method call graph for the program are constructed (step 610a). These graphs may be constructed using any of the standard algorithms, such as those described by: Bacon et al., in "Fast Static Analysis of C++ Virtual Function Calls", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, pp. 324-41, Oct. 1996; and Chambers et al., "Call Graph Construction in Object-Oriented Languages", ACM

Conference on Object-Oriented Programming Systems,
Languages, and Applications, pp. 108-24, Oct. 1997.

At each program point, a set C of all compile-time
objects to which the reference variable is capable of
pointing is computed (step 610b). To perform the
computation, any of the pointer analysis techniques can be
used, such as, for example, those described by: Emami et
al., in "Context-Sensitive Interprocedural Points-To
Analysis in the Presence of Function Pointers", SIGPLAN '94
Conference on Programming Language Design and
Implementation, SIGPLAN Notices, 29(6), pp. 242-56, June
1994; Lam et al., "Efficient Context-Sensitive Pointer
Analysis for C Programs", SIGPLAN '95 Conference on
Programming Language Design and Implementation, SIGPLAN
Notices, 30(6) pp. 1-12, June 1995; Landi et al., in "A Safe
Approximate Algorithm for Interprocedural Pointer Aliasing",
SIGPLAN '92 Conference on Programming Language Design and
Implementation, SIGPLAN Notices 27(6), pp. 235-48, June
1992; Burke et al., in "Efficient Flow-Sensitive
Interprocedural Computation of Pointer-Induced Aliases and
Side Effects", 20th Annual ACM SIGACT-SIGPLAN Symposium on
the Principles of Programming Languages, pp. 232-45, Jan.
1993; and Bjarne Steensgaard, "Points-To Analysis in Almost

Linear Time", 23rd Annual ACM SIGACT-SIGPLAN Symposium on
the Principles of Programming Languages, pp. 32-41, Jan.
1996.

A compile-time object is extant if its type is extant.
5 Otherwise, it is non-extant. Compile-time objects are
identified using a compile-time naming scheme similar to
those used in pointer analysis, such as, for example, the
naming scheme described by Chase et al., in "Analysis of
Pointers and Structures", SIGPLAN '90 Conference on
10 Programming Language Design and Implementation, SIGPLAN
Notices 25(6), pp. 296-310, June 1990.

Given the set of compile-time objects to which a
reference variable can point, it is determined whether any
of the compile-time objects within set C correspond to one
15 of the classes not in set A (i.e., are any of objects in set
C non-extant) (step 610c). If so, the reference variable is
designated as not corresponding to one of the classes in set
A (i.e., the reference variable is designated as being non-
extant) (step 610d). Otherwise, the reference variable is
20 designated as corresponding to one of the classes in set A
(i.e, the reference variable is designated as being extant)
(step 610e).

Consider the example shown in Table 2, which corresponds to a code fragment in the JAVA programming language. At S1, the reference variable p points to an extant object (assuming that B is extant), whereas at S4, p can potentially point to an non-extant object (assuming that the value of cName is not known during the off-line phase). Therefore at S6, the receiver expression p can invoke a method Bbar(. . .) that may not be in the closed world.

```

public void m1 (String cName)
10 {
    B p;
    if (...)
    S1:    p = new B();                // extant
    else
    15    {
    S2:    Class c = Class.forName(cName);
    S3:    Object o = c.NewInstance();
    S4:    p = (B) o;                // non-extant
    20    }
    S5:    for (...)
        {
    S6:    p.Bbar(...);                // p is extant or non-extant
        }
    25    }

```

TABLE 2

It is to be appreciated that if a receiver expression *p* at a call site *p.foo()* is extant, then during execution all possible target methods of the call are within the closed world. An important implication of the immediately preceding property is that we never need a runtime type check with respect to an optimization of such extant call sites. For instance, such call sites can be directly devirtualized and inlined without any runtime type checks guarding the inlined method, if during offline analysis it can be determined that there is only one target for such virtual calls.

If a receiver expression can point to a non-extant object, then the call site can potentially invoke methods outside the closed world. Such call sites are referred to as "exit boundary points" of the closed world. The invocation of *p.Bbar(...)* at S6 in Table 2 is an example of an exit boundary point. We need a runtime test to guard the invocation of such call sites.

In JAVA, a public method can be invoked from outside the closed world. Let *M(...)* be a method that can be invoked from outside the closed world. Methods such as *M(...)* are referred to as "entry boundary points" to the closed world. If *p* is a reference parameter of *M*, then *p*

can also potentially point to a non-extant object. When a reference variable is passed as a parameter to a method invocation on a potentially non-extant object, the extant state of the objects indirectly reachable from the parameter can become non-extant because the objects can be replaced. A statement which performs a read of a static reference variable is also an entry boundary point, as such a variable may have been modified by another thread during the execution of the containing method.

Hereinbelow, extant analysis information will be used to compute methods that are candidates for specialization, and to compute the extant safety test for determining whether to call the specialized or unspecialized method during execution.

A description will now be given of how to identify candidate methods for specialization using extant analysis. This will be followed by a description of how to use concepts from parametric data flow analysis to generate specialized methods.

According to the framework of the present invention, a method or a part of a method is always specialized with respect to an exit boundary point in the closed world. Above, extant analysis was used to determine the extant

state of a receiver expression. If the extant state of the receiver expression p at a virtual call site p.foo() is extant, then unconditional optimization can be performed with respect to such call sites. But if the extant state of p is non-extant we can do one of the following (depending on the "degree of extantness"): (1) do not perform any optimization with respect to such exit boundary points; or (2) perform optimizations with respect to such exit boundary points, but guard the optimized code using a dynamic test.

A description of how to identify code regions that are candidates for optimization will now be given. We optimize code with respect to an exit boundary point only if it is beneficial to do so. A receiver expression that can never point to an extant object is referred to as unconditionally non-extant. We assume that the receiver expression is not unconditionally non-extant.

To motivate the problem, consider the simple example shown in Table 3. Assume that all classes shown in Table 3 belong to the closed world.

Class A{	class B{
public void AbarC c1, String S)	public void Bbar (B b)
{	{
S1: Afoo(c1);	...
S2: Agooc(c1, s);	}
}	}
private void Afoo(C c)	class C extends B {
{	...

	S4: B b = new B(); // extant	public void Efoo()
	S5: c.Bbar(b);	{
	}	...
5	private void Agoos(C c, String s)	}
	{	class D{

	S6: if(...) {	public void Dbar(A si)
10	S7: Class x = Class.forName(s)	{
	S8: Object c=x.newInstance();//non-extant	S10: C cc = new C();
	}	S11: al.Abar(cc, "...");
	S9: c.Bbar(b);	}
	...	}
15	}	}

TABLE 3

20 The compile-time object created at S10 and passed to
method A::Abar(...) as the first parameter, i.e, c1, has its
initial extant state as extant. Since A::Abar(...) is a
public method, the extant state of the compile-time object
is applied to a meet with non-extant, resulting in the
25 extant state of non-extant. c1 is passed to parameter c of
A::Afoo (C c) at S1. The extant state of receiver
expression c at S5 does not change in A::Afoo (C c), and we
apply specialization to A::Afoo (C c) to create a
specialized A::Afoo' (C c) in which we directly devirtualize
30 and inline c.Bbar(b) at S5 (without any runtime guards
controlling the inlined method). A::Afoo(C c) is
specialized here with respect to the exit boundary point
defined at S5. During execution, we perform an Extant
Safety Test (EST) at S1 to determine whether to call the

specialized version `A::Afoo' (C c)` or to call the
unspecialized version `A::Afoo (C c)`. Once `A::Afoo' (C c)` is
invoked, it can safely execute for that invocation even if a
new class is loaded that can override the method `B:Bbar(B`
5 `b)`.

Now consider the method `A::Agoo (C c, String s)`. We
cannot specialize the whole method `A::Agoo (...)` wherein we
can directly inline `c.Bbar(b)`. In both `A::Afoo (C c)` and in
`A::Agoo(...)`, the receiver expression `c` for invocations of
10 `c.Bbar(b)` at S5 and S9, respectively, can point to a non-
extant object. But in the case of `A::Afoo (C c)` the target
object of the receiver expression `c` at S5 cannot change
between S1 and S5, whereas in the case of `A::Agoo(...)` a new
class can be loaded at S7, and the receiver expression at S9
15 can point to the newly loaded class. We can specialize part
of `A::Agoo(...)` by placing an extant safety test just prior
to S9 to check whether the receiver expression can point to
a non-extant object generated at S8. It is to be noted that
the generation and placement of extant safety tests are
20 described below.

Next, two key properties are established to determine
which methods (or parts of methods) are candidates for safe
specialization. Intuitively, given an exit boundary point

χ , we can place an EST just prior to χ . However, we want to move this test as early as possible to create opportunities for other optimizations. The following property, henceforth referred to as Property 1, essentially states how far up can the test be moved from an exit boundary points.

Property 1: Let m be a program point and let χ be an exit boundary point, and let $P(m, \chi)$ be the set of all program paths from m to χ in the program. The statements in $P(m, \chi)$ can be safely specialized with respect to χ if, during execution (1) there does not exist a non-extant (runtime) object O_{ne} that can reach χ before reaching m and (2) any object that reaches both m and χ is extant.

In Property 1, if m is an entry point to a method M , then we can specialize the whole method M with respect to χ . The portions of M that do not lie on a path from m to χ will not affect the safety of the specialization. Let us dissect Property 1 into three parts: (1) program point m ; (2) the set of paths $P(m, \chi)$; and (3) the exit boundary point χ . At compile-time we want to identify m such that $P(m, \chi)$ can be safely optimized and specialized with respect to χ . To invoke the specialized code we want to place an EST EST_m at

m that ensures safe invocation of the specialized code.

For an invocation of a path *P* in $P(m, \chi)$ to be safe, we have

to ensure that whenever *P* is executed, the receiver

expression re_x at χ points to an extant object. Let p_x be

5 the receiver expression of χ , and $EST(p_x)$ be an EST

performed at χ that returns true if and only if p_x points to

an extant object. Any EST EST_m that we place at a program

point *m* should satisfy the following property, henceforth

referred to as Property 2.

10 Property 2: An EST at program point *m*, denoted as EST_m ,
is safe with respect to $EST(p_x)$ if EST_m implies $EST(p_x)$,
expressed as $EST_m \subseteq EST(p_x)$.

15 In other words, whenever EST_m is true, $EST(p_x)$ should
be true. But if EST_m is false, then $EST(p_x)$ can be either
true or false. We call EST_m a "surrogate" of $EST(p_x)$. We
say EST_m is stronger than EST_n (or EST_n is weaker than EST_m)
if $EST_n \subseteq EST_m$, where EST_m and EST_n are two surrogates
(possibly at the same program point) of $EST(p_x)$.

20 Consider the example program in Table 3. The set of
objects pointed to by the receiver expression *c* at S5 is the
same as the set of objects pointed to by *c* at the entry of
 $A::Afcc()$. But this is not true in the case of $A::Agoo()$.

Therefore A::Agoo() cannot be fully specialized. But if we place an EST immediately prior to S9, the part of the program from the EST point to the exit boundary point can be specialized. Below, we show how to compute the EST.

5 A description will now be given of specialization using parametric data flow analysis. It is to be noted that immediately above, a description was provided on how to specialize methods for a devirtualization optimization. The optimization was based on a closed-world analysis performed with respect to an exit boundary point. A closed-world analysis which is parameterized with respect to exit boundary nodes is an example of a parametric data flow analysis. Parametric data flow is further described by: Landi et al., in "Data Flow Analysis of Program Fragments", Proceedings of the 7th Symposium on the Foundations of Software Engineering, Sept. 1999; and Chatterjee et al., in "Relevant Context Inference", 26th Annual ACM SIGACT-SIGPLAN Symposium on the Principles of Programming Languages, Jan. 1999. For devirtualization, the candidate method for specialization contains the exit boundary point. There are optimizations, such as stack allocation based on escape analysis, where the method to be specialized does not contain the exit point on which it depends. For such

problems, an interprocedural parameteric data flow analysis is needed to generate the specialized methods. Stack allocation based on escape analysis is described further by Choi et al., in "Escape Analysis for JAVA", ACM Conference on Object-Oriented Programming Systems, Languages, and Applications, Oct. 1999.

Parametric data flow analysis is based on the following concept. Let $\langle c, f \rangle$ denote a data flow fact f whose truth value depends on the condition c . Suppose T is a transformation that uses this fact. Then the transformation T is correct only if the condition c is true during the program execution. Once the condition c becomes false, the transformation T is unsafe.

Consider escape analysis for compile-time garbage collection. Let $p = \text{new } R()$ be an allocation site in a method M that we wish to transform to $p = \text{newstack } T()$. This transformation T is safe only if it can be proven that the objects allocated at this site cannot escape M . Let O be the compile-time object name for this site. Using parametric escape analysis, we can compute parameterized escape information $\langle E, O \rangle$, where E is the set of exit boundary points that could potentially affect the escapement

of 0. Assume 0 does not escape M under the condition that none of exit boundary points in Ξ will target a method outside the closed world. Now we can specialize T with respect to all exit boundary points in Ξ , and place an
5 extant safety test guarding the specialized transformation. T is specialized only if a placement can be found for the extant safety test that will satisfy Property 2.

A description will now be given of the generation and placement of extant safety tests. Extant Safety Tests
10 (ESTs) are condition-checks that guard the safe execution of a specialized method (or portions of a method). These tests depend on runtime information. There are several ways to perform the EST. Any test that we perform, however, must satisfy Property 2. Consider Table 3. We can place the
15 following EST at S4:

```
S4:  if (EST(c1)) Afoo'(c1)/*specialized*/  
      else Afoo(c1) /* unspecialized */
```

20 EST (c1) returns true if c1 points to an extant object, otherwise it returns false. EST(c1) is a surrogate for EST(c) at S2. ESTs that query objects for safety can be implemented by adding a bit in the class table, and setting the bit to 1 for extant classes. For newly loaded classes

(that are not in the closed-world) this bit is set to 0.

During runtime we can query the class table to check if the object is extant or non-extant.

EST can also be performed on control flow predicates.

5 Consider the following example:

```
boolean cond = bar();
if(cond)
{
  y = new_c T(); //create an extant object
10  ...          // assume y is still points
                // to extant object
}
else if(...)
  y = new nc S(); /// create a non-extant object
15 S20: y.foo();
```

In the above example, whenever cond is true, y points to an extant object. Therefore, cond can be considered as a surrogate for EST(y) at S20, and the part of program

20 consisting of the "then" portion can be specialized with respect to y.foo() at S20.

A description of the use of the sparse evaluation graph (SEG) for the purposes of the invention will now be given. Sparse evaluation graphs are described by Choi et al., in

25 "Automatic Construction of Sparse Data Flow Evaluation Graphs", 18th Annual ACM Symposium on the Principles of Programming Languages, pp. 55-66, Jan. 1991. The SEG is used for determining the extant tests and their placements.

The SEG is a generalization of static single assignment (SSA) and can be applied to both forward and backward monotone data flow problems, while offering the same benefits as those of SSA applied to forward def-use based data flow problems. SSA is described by Cytron et al., in "An Efficient Method for Computing Static Single Assignment Form and the Control Dependence Graph", ACM Transactions on Programming Languages and Systems, 13(4):451-490, Oct. 1991. Unlike SSA, where a definition triggers formation of ϕ -nodes, in the SEG only a statement with a non-identity transfer function for the analysis triggers formation of ϕ -nodes. For extant analysis, statements that affect the value of a receiver expression have a non-identify transfer function. The SEG has the following useful properties:

- (a) Each use of a variable has a single definition point.
- (b) ϕ -nodes are introduced to merge multiple definitions coming from distinct control flow paths. Let S be the set of definition points of a variable. We introduce ϕ -nodes at the iterated dominance frontier $IDF(S)$.
- (c) Give a variable v , let $SEG_d(v)$ denote the

definition point of the use of v . $SEG_d(v)$ will dominate the use point of v .

Now, let χ be an exit boundary point, and v be the receiver expression of χ . The program point $m = SEG_d(v)$ will satisfy Properties 4.1 and 4.2 for the exit boundary point χ . Therefore, all program statements between m and χ inclusive can be safely specialized with respect to χ .

If the SEG definition point is the entry of a method, we can place the EST at each call site invoking the method instead of at the entry of the method. Placing the EST in a caller can enable further optimizations in the caller with respect to the called method.

Finally, since the runtime type of a compile-time object is determined at compile time in JAVA by the allocation site, we can consider compile-time objects with an identical runtime type as the same compile-time object. This will reduce the number of merge points, and thereby allow the placement of EST earlier in the program.

A description will now be given of optimization of the extant safety tests. Let $PP(m, \chi)$ be the set of program points which occur in one or more of the paths in $P(m, \chi)$. Given two surrogates EST_m and EST_n of $EST(p_x)$, EST_m is

preferable to EST_n if

$$EST_n \subseteq EST_m \wedge pp(n, x) \subseteq pp(m, x)$$

For example, if $SEG_d(v)$ (described above) is a simple copy from a reference variable, such as " $v = w;$ ", the extant
5 safety test applied to w at the program point $n = SEG_d(w)$ whose definition of w reaches the use of w at m is preferable to that applied to v at m . This process of identifying a preferable extant test can be repeated until
10 the definition is a merge node (i.e. a ϕ node) or the definition is an assignment of a de-reference such as " $v = p.fl;$ ". Another instance of a favored EST is one that can cover multiple exit boundary points.

One can perform several optimizations to identify the most preferable among multiple ESTs. Partial Redundancy
15 Elimination (PRE) for eliminating partially redundant ESTs is one example. An EST E_1 is partially redundant if the truth value of an earlier EST E_2 implies the true value E_1 for certain program paths.

Using profiling information or static analysis, we can
20 also hoist ESTs to infrequently executed program points. For example, a static analysis applied to the example code segment below might identify that all the objects pointed to

by p at S100 are extant if the object pointed to by head at S1 is extant. In that case, we can place an extant safety test for the object pointed to by head at S1 that covers all the objects pointed to by p at S100 in the loop body.

```

5      ...
      S1:
      for (T p = head ! null; p    p.next)
      {
10          ...
          S100: p.m(...);
          ...
      }

```

There exists a tradeoff between the strength (i.e. precision) of an extant safety test and the size of the set of program points that can be specialized. Although $EST_n \subseteq EST_m$, EST_n might be favored over EST_m if $PP(m, \chi) \subseteq PP(n, \chi)$ - the increased size of the specialized code, at the cost of the larger failure rate of EST_n , might still improve the overall performance of the optimized code. Profiling and static analysis can help determine whether (and where) the precision of an extant safety test can be sacrificed for the increased size of the specialized code.

A description will now be given of experiments and corresponding results. Table 4 illustrates the benchmark programs used in the experiments. All benchmarks are from the SPECjvm98 suite. The following two kinds of experiments

were performed: (1) measuring closed-world characteristics;
 (2) measuring extant analysis characteristics. The Jalapeño
 Virtual Machine was used as the experimental platform. The
 Jalapeño Virtual Machine is an implementation of JAVA
 written in mostly pure JAVA, as described by Alpern et al.,
 in "Implementing Jalapeño in JAVA", ACM Conference on
 Object-Oriented Programming Systems, Languages, and
 Applications, Oct. 1999.

Program	Description	Class	Meth	CWMeth	CWVMeth
jess	NASA's CLIPS expert system	112	674	770	667
db	Database search and modify	15	194	273	188
JAVAc	Source to byte code compiler	71	741	862	756
mpegaudio	Decompress audio file	55	433	495	396
mtrt	Multithreaded image rendering	38	339	415	321
jack	Parser generator generating itself	59	458	547	456

Table 4

Closed-world characteristics will now be described with
 respect to the implementation and test results of the
 invention. We used the profile-based approach to collect the
 closed world. The Jalapeño Virtual Machine was instrumented
 to collect method profile information (i.e., the number of
 times a method is executed) and the set of methods and

classes that should be included in the closed world. A data size of 1 was used, as defined by SPECjvm98, during the profiling and the closed-world collection phase. Methods that were executed at least once in the closed world were included in the experiments. The closed world contains both the application methods and the JAVA library methods, but does not include methods from the Jalapeño Virtual Machine.

The term "virtual call" is used herein to refer to a non-static call (e.g., `invokevirtual`, `invokeinterface`, or `invokespecial`). Table 4 illustrates descriptions of the benchmarks used in the experiments. In table 4, the "Class" column indicates the number of classes in the application. The "Meth" column indicates the number of methods in the application. The "CWMeth" column indicates the number of methods in the closed world, including JAVA library methods used. Finally, "CWVMeth" column shows the number of virtual methods in the closed world.

Dynamic characteristics of the closed world were analyzed. The Jalapeño Virtual Machine was again instrumented to collect the dynamic information. However, this time, during the analysis phase a data size of 10 was used, as defined by the SPECjvm98. Table 5 below illustrates the closed-world characteristics. That is,

Table 5 shows the dynamic results that were collected. The "Calls" column shows the total number of method calls. The "VC" column shows the total number of virtual calls. The "CWCW" column shows the dynamic number of calls in which both the callee and the caller were in the closed world. The "CWOW" column shows the number of calls in which the callee was in the closed world and the caller was not in the closed world. The "OWCW" column shows the number of calls in which the callee was not in the closed world and the caller was in the closed world. The "appCWCW" column shows the number of calls in which both the caller and the callee are within the application.

The column "%CWCW" shows that on average 93.4% of the time the caller and the callee are within the closed world. This shows that one can do optimistic interprocedural optimization assuming the closed world is the whole program, and 93.4% of the time the outside world will not pollute the closed world. The last column in Table 5, the "%appCWCW" column, shows the percentage of calls that are within the application. The percentage here varies from 3.7% to 98.2%. The benchmarks db and jack make a large number of calls to JAVA library methods. By ignoring libraries for such programs, the closed world is not an effective basis for

interprocedural optimization.

Program	Calls	VC	CWCW	CWOW	OWCW	appCWCW	%CW CW	%app CWCW
jess	6041190	5910871	5781026	214756	7786	5292904	95.6	91.6
db	2255025	1784217	2191538	47556	19	81112	97.2	3.7
JAVAc	3088540	3015046	2786592	187043	28841	1313394	90.2	47.1
mpegaudio	11510851	9289136	9417510	2061142	16505	9245643	81.8	98.2
mtrt	23122500	2276693	22698824	407974	23	20882723	98.2	91.2
jack	6333592	5775934	6177408	139957	27	867514	97.5	14.2

Table 5

A description will now be given of extant analysis and devirtualization with respect to the implementation and test results of the invention. To study the extant analysis framework, we implemented a Steensgaard-style flow-insensitive/context-insensitive analysis to compute extant information. Such an analysis is described by Bjarne Steensgaard, "Points-To Analysis in Almost Linear Time", 23rd Annual ACM SIGACT-SIGPLAN Symposium on the Principles of Programming Languages, pp. 32-41, Jan. 1996. Tables 6, 7, and 8 show the results of our experiment. The closed-world program collected during the profiling phase was used for our analysis. This time we included all the methods of the application suite, and included only those library

methods that were executed at least 20 times (during the profiling phase). We used the method profile information to annotate the call graph for obtaining dynamic counts of the result. In all the tables, the prefix "Dyn" indicates a weighted dynamic count of the static information. The results provided herein optimistically assume that the public methods are not called from outside the closed world.

Program	VC	ExVC	%ExVC
jess	3480	1256	36.1
db	1036	282	27.2
JAVAc	5273	1256	23.8
mpegaudio	1520	472	31.1
mtrt	1975	627	31.7
jack	2784	619	22.2

Table 6

Program	VC	DeV	%DeV	DynVC	DynDeV	%DynDeV	ExDeV	%ExDeV	DynExDeV	%DynExDeV
jess	3480	3431	98.5	475113	385206	81.1	1244	36.2	125526	32.5
db	1036	1008	97.3	81721	52573	64.3	280	27.8	5165	9.8
JAVAc	5273	4948	93.8	233125	111199	47.7	1124	22.7	17614	15.8
mpegaudio	1520	1487	97.8	1115287	1039842	93.2	470	31.6	704540	67.7
mtrt	1975	1949	98.7	5246319	4885561	93.1	626	32.1	1722842	35.2
jack	2784	2417	86.8	2897827	2192136	75.6	618	25.6	720839	32.9

Table 7

Table 6 illustrates virtual call characteristics. In Table 6, column "VC" shows the number of virtual calls, and column "ExVC" shows the number of virtual calls that are extant. Recall the extant calls are calls that are guaranteed by the extant analysis to be within the closed world. Optimizations that depend on such calls never need to be guarded by an extant safety test. From Table 6 it can be seen that, on average, 28.7% of the virtual calls are within the closed world. Column %ExVC shows the percentage of virtual calls which are extant.

Table 7 illustrates the characteristics of devirtualization. A simple class hierarchy-based algorithm was implemented for determining whether a virtual call can be devirtualized (and possibly inlined). The column "VC" shows the number of virtual calls. The column "DeV" shows the number of virtual calls that can be devirtualized when assuming that the closed world is the whole program. The corresponding number of dynamic virtual calls and the dynamic number of such virtual calls that can be devirtualized are given in columns "DynVC" and "DynDeV", respectively. From column "%DeV" it can be seen that on average 95.4% of the virtual calls can be devirtualized assuming that the closed world is the whole program. The

corresponding dynamic percentages are shown in column
"%DynDeV". The corresponding dynamic average is 75.3%.

The column "ExDeV" shows the number of extant calls
that can be devirtualized. The column "%ExDeV" shows the
percentage of the devirtualized calls that are guaranteed to
be within the closed world. These calls can be directly
devirtualized and inlined (i.e., these calls do not require
extant safety tests to guard them). On average, 29.3% of
the calls can be devirtualized without a need for extant
safety tests to guard them. The corresponding dynamic
measure (columns "DynExDev" and "%DynExDev") shows that on
average 32.3% of the dynamic calls do not require any
guards.

The next set of measurements is related to whole method
specialization for devirtualization. Table 8 below shows
how much specialization can be done for devirtualization.
For such whole method specialization, the extant safety test
is outside the method being specialized. The column
"CWVMeth" gives the number of virtual methods in the closed
world. The column "SpDeV" shows the number of such methods
that can be specialized for devirtualization with respect to
at least one exit boundary point. For these exit points,
the non-extant objects pointed to by the corresponding

receiver expression are all created prior to invoking the method that is a candidate for specialization. We find, on average, 81.5% of the methods are candidates for such specialization. The corresponding dynamic measure is 44.5%.

5

Program	CWVMeth	SpDeV	%SpDeV	DynMeth	DynSpDeV	%DynSpDeV
jess	667	517	77.5	475113	233026	49
db	188	168	89.3	81721	40046	49
JAVAc	756	541	71.5	233125	172884	74.1
mpegaudio	396	277	69.9	1115287	338423	30.3
mtrt	321	219	68.2	5246319	676308	12.9
jack	456	392	85.9	2897827	1503313	51.9

Table 8

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A description will now be given of related work with respect to the present invention. Specialization is a technique for instantiating a program with respect to some runtime invariants. Specialization is described by: Chambers et al., in "Selective Specialization for Object-Oriented Languages", SIGPLAN '95 Conference on Programming Language Design and Implementation, SIGPLAN Notices, 30(6), pp. 93-102, June 1995; and Consel et al., in "A general Approach for Run-Time Specialization and its Application to C", 1996 ACM Symposium on Principles of Programming

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Languages, pp. 145-56, Jan. 1996. Specialization has been investigated and applied for variety of languages. We apply specialization in the context of dynamic class loading for JAVA programs. We use extant analysis to determine the runtime invariants which we use to specialize methods and partial methods. One disadvantage of specialization is that it can increase code size; thus, specialization should be applied only to "hot methods", as described in the preceding article by Consel et al.

Extant tests offer better optimization opportunities than tests based on the runtime type of an object that typically guard against incorrect specialization for a receiver expression. One such runtime test is described by Holzle et al., in "Optimizing Dynamically-Dispatched Calls with Run-Time Type Feedback", SIGPLAN '94 Conference on Programming Language Design and Implementation, SIGPLAN Notices, 29(6), pp. 326-36, June 1994. In contrast to such runtime tests, a single extant test can cover multiple statements, and thereby offers the opportunity for optimizations across the multiple statements. Further, the multiple statements covered by a single extant test can cross methods or class boundaries, in which case interprocedural optimizations such as inlining can be

performed across multiple levels of method invocations.

The concept of preexistence in the context of a dynamic compiler was introduced by Detlefs and Agersen so that inlining only takes place for those call sites for which it can be proved that the object pointed to by the receiver expression has been allocated. Detlefs and Agersen describe the concept of pre-existence in "Inlining of Virtual Methods", 13th European Conference on Object-Oriented Programming, pp. 258-78, June 1999. Their preexistence analysis is related to our intraprocedural extant analysis. One problem with Detlefs and Agsen's scheme is that the inlining transformation in a method m may have to be invalidated and the method m may have to be recompiled for some future invocation of m. For instance, if p.n is a method that is inlined in m, and if in the future we pass an object to p which calls a different method than what was inlined, we have to invalidate m.

Our framework is more general than preexistence and runtime type checking in that it can be applied to optimizations other than inlining, such as escape analysis.

A dynamic compiler, such as Detlefs and Agesen's, has an advantage over a static compiler in that a dynamic compiler performs, during execution, (potentially) multiple

Parameterized points-to analysis for compiling large programs with multiple modules is described by Chatterjee et al., in "Relevant Context Inference", 26th Annual ACM SIGACT-SIGPLAN Symposium on the Principles of Programming Languages, Jan. 1999. They obtain summary functions for points-to analysis of methods by inference of the relevant conditions on the unknown initial values for parameters and globals at method entry. A framework for analyzing program fragments that is an extension of Chatterjee et al.'s work is described by Landi et al., in "Data Flow Analysis of Program Fragments", Proceedings of the 7th Symposium on the Foundations of Software Engineering, Sept. 1999.

Static JAVA compilers which perform interprocedural analysis and optimization, such as HPCJ and Marmot, do not allow dynamic class loading during program execution. JAX is a byte convertor for compressing application class files. It performs whole program analysis, but again makes a "closed-world" assumption. HOTSPOT and other JIT compilers do not support aggressive interprocedural optimizations.

HPCJ is implemented by the IBM High Performance Compiler for JAVA, IBM Corp., 1997, described at <http://simont01.torolab.ibm.com/hpj/hpjj.html>, available for download at <http://www.alphaWorks.ibm.com/formula>. Marmot

is described by Fitzgerald et al., in "Marmot: An optimizing
Compiler for JAVA", Technical Report MSR-TR-99-33, Microsoft
Research, June 1999. JAX is described by Laffra et al., in
"Practical Experience with an Application Extractor for
5 JAVA", ACM Conference on Object-Oriented Programming
Systems, Languages, and Applications, Nov. 1999. HOTSPOT
and other JIT compilers are described by: Steve Meloan, "The
JAVA HOTSPOT Performance Engine: An In-Depth Look",
Technical Report, Sun Microsystems, Inc., April 1999; and
10 Ishizaki et al., in "Design, Implementation, and Evaluation
of Optimizations in a Just-In-Time Compiler", ACM 1999 JAVA
Grande Conference, pp. 119-28, June 1999.

It is to be appreciated that the present invention
solves an important problem for efficient execution of JAVA,
that of interprocedural optimization in the presence of
15 dynamic class loading. The present invention provides a
framework for interprocedural optimization that does not
depend upon runtime invalidation and recompilation. The
framework is based upon the optimization of a closed-world
20 program prior to execution. A runtime safety test is used
to enforce correctness. Experimental results of the
framework described herein allow for the expectation that a
large percentage of a JAVA program can be optimized as if

JAVA does not have the capability for dynamic class loading.

5 The framework of the present invention was implemented
using the Jalapeño Virtual Machine, and a set of SPECjvm98
benchmark programs was experimented on. The Jalapeño
Virtual Machine is further described by Alpern et al., in
"Implementing Jalapeño in JAVA", ACM Conference on Object-
Oriented Programming Systems, Languages, and Applications,
Oct. 1999. Using a profiling-guided closed world (described
in further detail hereinbelow), it was observed that more
10 than 93% of the method calls are within the closed world.
Thus, with the framework described here, we can expect a
large percentage of a JAVA program can be optimized as if
JAVA does not have the capability for dynamic class loading.
Further, based on extant analysis, we measured that on
15 average 28.7% of the virtual calls are guaranteed to be
within the closed world. Our measurements also show that on
average 95.4% of the virtual calls can be devirtualized if
the closed world is not extended during runtime. Also,
29.3% of the devirtualized call sites do not need to be
20 guarded with a runtime test.

Some of the benefits of the present invention will now
be described. It is to be appreciated that the invention
advantageously provides a framework for interprocedural

optimization that does not require invalidation during
execution when a new class is loaded. Moreover, an analysis
technique, called extant analysis, is provided to identify
methods that can be specialized and to identify points in
the program that can be affected by dynamic class loading.
Parametric data flow analysis is used to perform
optimizations on the specialized version of such methods.
The invention also provides an extant test that can be
performed during execution to invoke the specialized
methods. Further, safety properties are provided within the
framework of the invention, such as how and when a
specialized method can be created and invoked. The results
of experimentation performed on the framework using Jalapeño
Virtual Machine are described; both static and dynamic
results are provided to evaluate the framework.

Although the illustrative embodiments have been
described herein with reference to the accompanying
drawings, it is to be understood that the present system and
method is not limited to those precise embodiments, and that
various other changes and modifications may be affected
therein by one skilled in the art without departing from the
scope or spirit of the invention. All such changes and
modifications are intended to be included within the scope

of the invention as defined by the appended claims.

WHAT IS CLAIMED IS:

1. A method for analyzing an object oriented program
5 that supports dynamic class loading, the program comprising
a plurality of objects, each object belonging to at least
one class, the method comprising the steps of:

identifying a set A of classes in the program, wherein
each of the classes within the set A is capable of, during
10 execution of the program, causing loading of a class outside
of the set A;

identifying a first set of method calls belonging to
the classes in the set A that, during execution of the
program, are capable of calling only methods belonging to a
15 class within the set A;

identifying a second set of method calls belonging to
the classes in the set A that, during execution of the
program, are capable of calling methods belonging to a class
outside the set A; and

20 storing data that identifies the first and the second
set of method calls for subsequent use.

2. The method according to claim 1, further
comprising the step of reporting the stored data to a user.

3. The method according to claim 1, further comprising the step of optimizing the program, based upon the stored data.

5 4. The method according to claim 3, further comprising the steps of:

for a given method call in the second set,

adding an optimization to the program that is valid when the given method call calls, during execution of the program, only methods belonging to a class in the set A; and

adding code to the program that triggers execution of the optimization when the given method call calls, during execution of the program, only methods belonging to the class in the set A.

5. The method according to claim 1, wherein said steps of identifying the first and the second set comprise the step of performing static analysis of the program.

6. The method according to claim 4, wherein said step of identifying the set A comprises the step of adding a bit in a class table corresponding to a given class and setting

the bit to a first predefined value, when the given class is within the set A.

7. The method according to claim 6, wherein said step of identifying the set A comprises the step of setting the bit to a second predefined value when the given class is newly loaded.

8. The method according to claim 7, wherein the code queries a class table corresponding to a runtime class of a reference variable associated with the given method call to determine whether the bit corresponds to the first or the second predefined value.

9. The method according to claim 1, wherein at least some of the classes in the set A are identified by a user.

10. The method according to claim 4, wherein the optimization corresponds to at least one of devirtualization and stack allocation.

11. The method according to claim 4, wherein the code is added to the given method call to enable optimization

with respect to the called methods.

12. A method for optimizing an object oriented program that supports dynamic class loading, the program comprising a plurality of objects, each object belonging to at least one class, the method comprising the steps of:

identifying a set A of classes in the program, wherein each of the classes within the set A is capable of, during execution of the program, causing loading of a class outside of the set A; and

adding an optimization to the program that is valid when a given method call belonging to the classes in the set A is capable of calling, during an execution of the program, only methods belonging to a class in the set A.

13. The method according to claim 12, further comprising the step of identifying the given method call based upon static analysis of the program.

14. The method according to claim 12, wherein the optimization corresponds to at least one of devirtualization and stack allocation.

15. A method for optimizing an object oriented program that supports dynamic class loading, the program comprising a plurality of objects, each object belonging to at least one class, the method comprising the steps of:

5 identifying a set A of classes in the program, wherein each of the classes within the set A is capable of, during execution of the program, causing loading of a class outside of the set A;

10 identifying a set B of method calls belonging to the classes in the set A that, during execution of the program, are capable of calling methods belonging to a class outside the set A;

15 for a given method call in the set B,
generating optimized code for replacing the given method call; and

generating test code that triggers execution of the optimized code in place of the given method call when the given method call calls, during execution of the program, only methods belong to a class within the set A.

20 16. The method according to claim 15, wherein said identifying steps are performed during an off-line phase.

17. The method according to claim 15, wherein said step of generating the optimized code further comprises the step of performing parametric data flow analysis on the program.

5

18. The method according to claim 15, wherein the optimization corresponds to at least one of devirtualization and stack allocation.

10

19. The method according to claim 15, wherein said steps of identifying the set B comprises the step of computing at each program point whether a reference variable will always correspond to one of the classes in the set A.

15

20. The method according to claim 19, wherein said computing step comprises the steps of:

constructing a class inheritance graph and a method call graph for the program;

20

computing at each program point a set C of all compile-time objects to which the reference variable is capable of pointing;

determining whether any of the compile-time objects within the set C correspond to one of the classes not in the

set A;

designating the reference variable as not corresponding to one of the classes in the set A, when a compile-time object within the set C does not correspond to one of the classes in the set A;

designating the reference variable as always corresponding to one of the classes in the set A, when each of the compile-time objects within the set C corresponds to one of the classes in the set A.

21. The method according to claim 20, wherein said step of identifying the set A comprises the step of adding a bit in a class table corresponding to a given class and setting the bit to a first predefined value, when the given class is within the set A.

22. The method according to claim 21, wherein said step of identifying the set A comprises the step of setting the bit to a second predefined value when the given class is newly loaded.

23. The method according to claim 22, wherein the test code queries a class table corresponding to a runtime class

of the reference variable associated with the given method call to determine whether the bit corresponds to the first or the second predefined value.

5 24. The method according to claim 15, wherein the test code is added to the given method call to enable optimization with respect to the called methods.

10 25. The method according to claim 20, wherein compile-time objects with an identical runtime type are a same compile-time object.

15 26 A program storage device readable by machine, tangibly embodying a program of instructions executable by the machine to perform method steps for analyzing an object oriented program that supports dynamic class loading, the program comprising a plurality of objects, each object belonging to at least one class, said method steps comprising:

20 identifying a set A of classes in the program, wherein each of the classes within the set A is capable of, during execution of the program, causing loading of a class outside of the set A;

identifying a first set of method calls belonging to the classes in the set A that, during execution of the program, are capable of calling only methods belonging to a class within the set A;

5 identifying a second set of method calls belonging to the classes in the set A that, during execution of the program, are capable of calling methods belonging to a class outside the set A; and

10 storing data that identifies the first and the second set of method calls for subsequent use.

27 The method according to claim 26 further comprising the step of optimizing the program, based upon the stored data.

15 28 The method according to claim 25 further comprising the steps of:

for a given method call in the second set,

20 adding an optimization to the program that is valid when the given method call calls, during execution of the program, only methods belonging to a class in the set A; and

adding code to the program that triggers execution

of the optimization when the given method call calls, during execution of the program, only methods belonging to a class in the set A.

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29 A program storage device readable by machine, tangibly embodying a program of instructions executable by the machine to perform method steps for optimizing an object oriented program that supports dynamic class loading, the program comprising a plurality of objects, each object belonging to at least one class, said method steps comprising:

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identifying a set A of classes in the program, wherein each of the classes within the set A is capable of, during execution of the program, causing loading of a class outside of the set A;

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identifying a set B of method calls belonging to the classes in the set A that, during execution of the program, are capable of calling methods belonging to a class outside the set A;

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for a given method call in the set B,

generating optimized code for replacing the given method call; and

generating test code that triggers execution of

INTERPROCEDURAL ANALYSIS AND OPTIMIZATION OF AN OBJECT
ORIENTED PROGRAM IN THE PRESENCE OF DYNAMIC CLASS LOADING

Abstract

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A method is provided for analyzing an object oriented program that supports dynamic class loading. A set A of classes in the program is identified, wherein each class within set A is capable of, during execution of the program, causing the loading of a class outside of set A. A first set of method calls belonging to the classes in set A are identified that, during execution of the program, are capable of calling only methods belonging to a class within set A. A second set of method calls belonging to the classes in set A are identified that, during execution of the program, are capable of calling methods belonging to a class outside set A. Data that identifies the first and the second set of method calls is stored for subsequent use (e.g., to optimize the program). According to another embodiment of the invention, a method is provided for optimizing an object oriented program that supports dynamic class loading. A set A of classes in the program is identified, wherein each class within set A is capable of, during execution of the program, causing the loading of a

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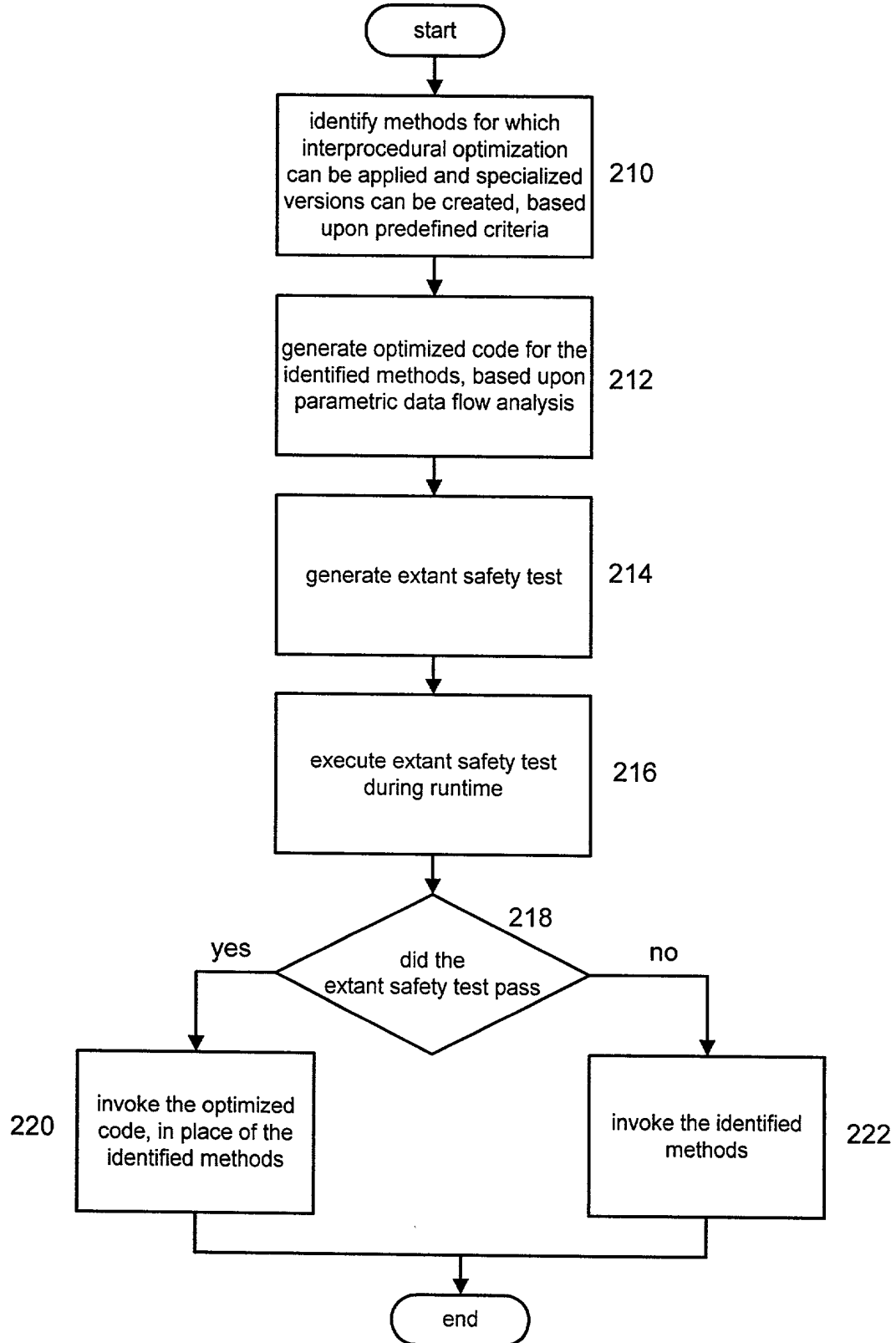


FIG. 2

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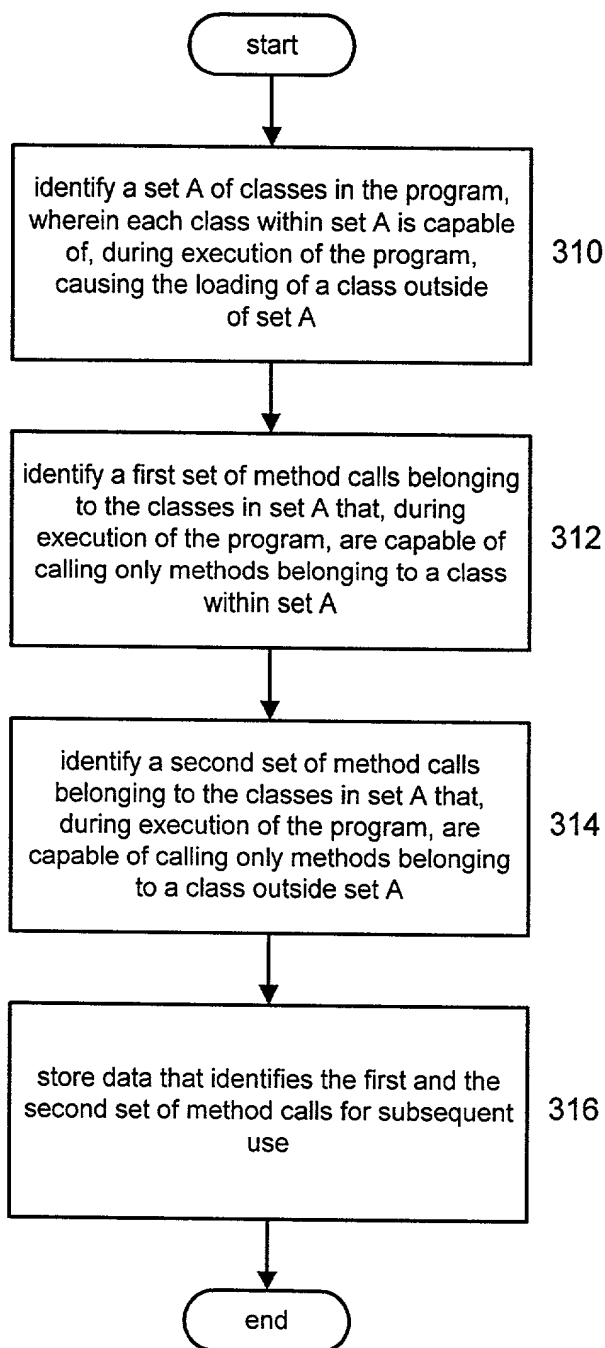


FIG. 3

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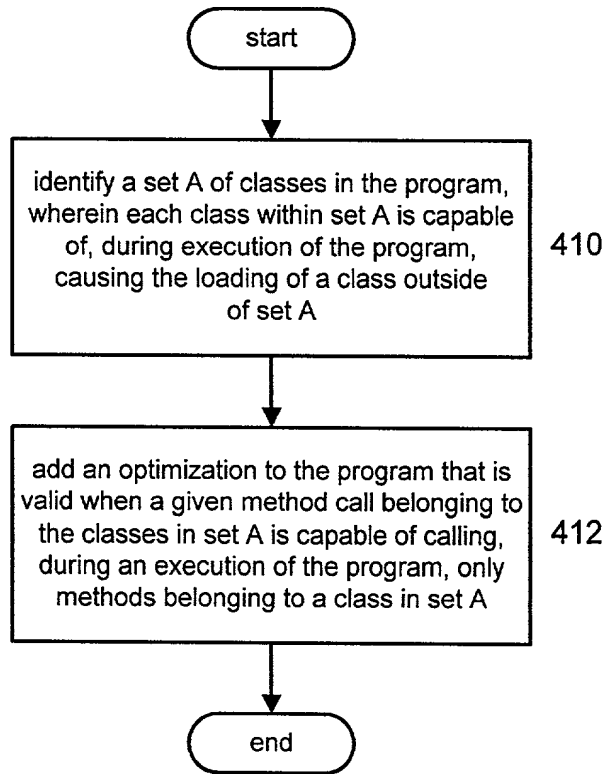


FIG. 4

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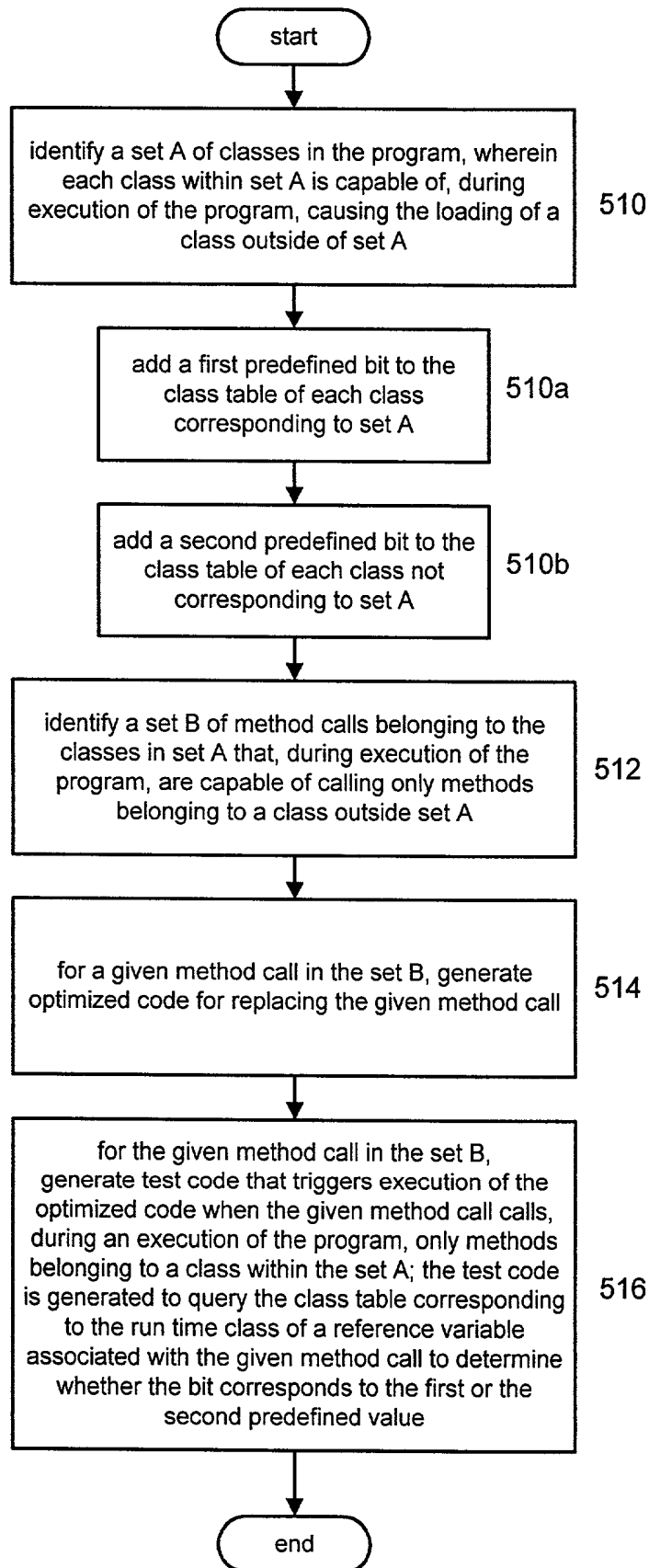


FIG. 5

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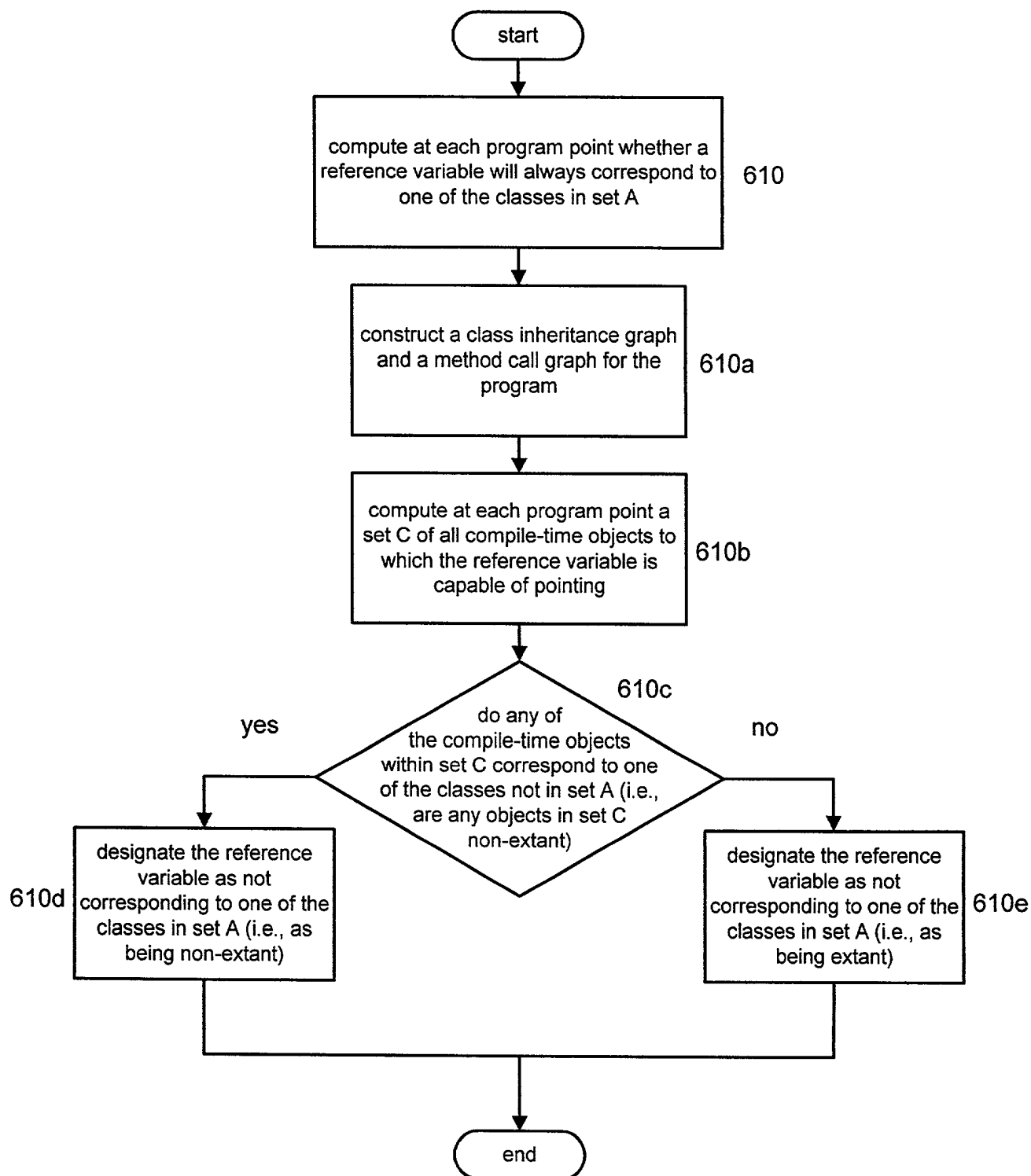


FIG. 6

DECLARATION

AS A BELOW NAMED INVENTOR, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole (*if only one name is listed below*), or an original, first and joint inventor (*if plural names are listed below*), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TITLE: INTERPROCEDURAL ANALYSIS AND OPTIMIZATION OF AN OBJECT ORIENTED PROGRAM IN THE PRESENCE OF DYNAMIC CLASS LOADING

the specification of which either is attached hereto or indicates an attorney docket no. YOR9-2000-0038 (8728-348), or:

☐ was filed in the U.S. Patent & Trademark Office on _____ and assigned Serial No. _____,

☐ and (*if applicable*) was amended on _____,

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability and to the examination of this application in accordance with Title 37 of the Code of Federal Regulations §1.56. I hereby claim foreign priority benefits under Title 35, U.S. Code §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States, listed below and have also identified below any foreign applications for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Priority Claimed:

(Application Number)	(Country)	(Day/Month/Year filed)	Yes [] No []
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(Application Number)	(Country)	(Day/Month/Year filed)	Yes [] No []
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I hereby claim the benefit under Title 35, U.S. Code, §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application(s) in the manner provided by the first paragraph of Title 35, U.S. Code, §112, I acknowledge the duty to disclose information material to patentability as defined in Title 37, The Code of Federal Regulations, §1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

60/187,721	March 8, 2000	Pending
(Application Serial Number)	(Filing Date)	(STATUS: patented, pending, abandoned)

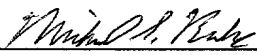
(Application Serial Number)	(Filing Date)	(STATUS: patented, pending, abandoned)
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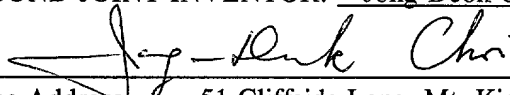
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* I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 U.S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


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Residence & Post Office Address: _____

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Inventor's signature: _____ Date: _____
Residence & Post Office Address: _____

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Inventor's signature: _____ Date: _____
Residence & Post Office Address: _____

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Burke et al.

SERIAL NO.: Unassigned

FILED: Concurrently Herewith

FOR: INTERPROCEDURAL ANALYSIS AND OPTIMIZATION OF AN
OBJECT ORIENTED PROGRAM IN THE PRESENCE OF
DYNAMIC CLASS LOADING


ASSOCIATE POWER OF ATTORNEY

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